

U.S. Fish and Wildlife Service
Checklist for a New Financial Assistance Award

Follow the instructions in the "Issuing a New Financial Assistance Award Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> to complete this form. Maintain the completed form in the official award file.

Grants.gov Funding Opportunity #: _____

Program Application #: _____

(Enter any program-generated application #)

CFDA Number: _____ **Program Title:** _____

The Service has authority to issue financial assistance awards under this program. See the Authorization section of the program's CFDA.gov profile for authorizing legislation.

Recipient Name: _____

DUNS Number: _____

Recipient Type (select from drop down): _____

Project Title: _____

Project Period Start Date: _____ **Project Period End Date:** _____

(In project period start date field, enter "Signature date" or specific start date)

(Enter date)

Items		YES	NO
1.	Check YES to confirm that the project to be funded IS financial assistance and NOT a contract/acquisition. The primary purpose of the award is to support or stimulate activities that are not for the direct benefit/use by the Service.		
2.	Check YES next to ONE of the following to indicate the financial assistance award instrument to be used:		
A.	GRANT: No substantial Service involvement is expected.		
B.	COOPERATIVE AGREEMENT: Service staff will be substantially involved in the project.		
3.	Is this a discretionary single source award (see 516 FW 6)? Check YES or NO. A YES response also means that a signed copy of FWS Form 3-2452 will be maintained in the official award file.		
4.	A. Was a complete Funding Opportunity for the program/single source award posted on Grants.gov? Check YES or NO. A YES response also means that the required dated print screens will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
	B. If 4A is NO, check YES next to ONE of the following to indicate the justification for not posting the Funding Opportunity (FO) on Grants.gov:		
(1)	The FO is for a mandatory program.		
(2)	The FO is for discretionary award(s) less than \$25,000 each for which 100% of eligible applicants live outside of the U.S.		
(3)	The FO is for a discretionary single source award for less than \$25,000 in total Federal funds.		
(4)	The FO is for an award made under the Indian Self-Determination and Education Assistance Act (P.L. 93-638, 88 Stat. 2204).		
(5)	Because of a compelling and unusual urgency, or substantial danger to health or safety, there is not enough time to follow adequate competitive procedures.		
5.	Check YES to confirm that this award is made based on an approved application submitted by the applicant that matches the award to be made in regards to funding amount and project scope and includes a complete and signed SF 424, Application for Federal Assistance form. The application on which the award is based will be maintained in the official award file.		
6.	Check YES next to ONE of the following to indicate the applicable indirect cost rate circumstance:		
A.	The recipient is an individual. Individuals are not authorized to charge indirect costs to an award.		
B.	The recipient is not an individual. The recipient will charge all costs directly.		
C.	The recipient is not an individual. The recipient has an approved NICRA covering part/all of the project period. A copy of their NICRA will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
D.	The recipient is not an individual. The recipient has either already submitted a NICRA proposal covering part/all of the project period or has agreed to do so within the required timeframe after this award is issued. All related documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
E.	The recipient is not an individual or governmental entity. The recipient has agreed to accept as a condition of award a flat indirect cost rate of 10% of MTDC.		
7.	Is the reimbursement of pre-award costs approved as part of this award? A YES response also means the applicant has demonstrated in writing that pre-award costs were necessary and reasonable for accomplishing the overall project objectives, that the costs would have been approved had they occurred within the award period of performance, and that the recipient's written request for pre-award costs will be maintained in the official award file.		

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Items		YES	NO
8.	Check YES next to ONE of the following to indicate the applicable NEPA review circumstance:		
A.	All of the project activities will occur outside of the U.S. NEPA review is not required.		
B.	The project will occur in the U.S. and was reviewed for potential significant effects on the human environment. It was determined that the project is completely covered by a Categorical Exclusion AND no Extraordinary Circumstance applies. A YES response also means that the required NEPA review statement will be maintained in the official award file.		
C.	The project will occur in the U.S. and was reviewed for potential significant effects on the human environment. It was determined that the project either: does not meet the criteria for a Categorical Exclusion; is not completely covered by a Categorical Exclusion; OR an Extraordinary Circumstance applies. All related required documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
9.	Check YES next to ONE of the following to indicate the applicable Section 7 ESA review circumstance:		
A.	All project activities will be conducted outside of the U.S. Section 7 ESA review is not required.		
B.	Project activities will be conducted in the U.S. but either: 1) no listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area, or 2) the project has no potential to affect species or their designated critical habitats. No further Section 7 ESA review is required.		
C.	Project activities will be conducted in the U.S. and the program finds the activities may affect listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat. A YES response also means that the program will follow the appropriate intra-Service consultation process and all related documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
10.	Check YES next to ONE of the following to indicate the applicable Section 106 NHPA review circumstance:		
A.	All of the proposed project activities will be conducted outside of the U.S. Section 106 NHPA review is not required.		
B.	Project activities will be conducted in the US. All NHPA consultation requirements will be met. All resulting documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
11.	Was an Office of the Solicitor review of the project requested? Check YES or NO. A copy of the request and any response will be maintained in the official award file.		
12.	Check YES next to ONE of the following to indicate the applicable A-133 Single Audit circumstance:		
A.	The applicant is NOT a governmental entity or non-profit organization and is exempt from OMB Circular A-133.		
B.	The applicant IS a governmental entity or non-profit organization that reported in their application that they were NOT required to submit an A-133 report for their most recently closed FY.		
C.	The applicant IS a governmental entity or non-profit organization that reported in their application that they WERE required to submit an A-133 report for their most recently closed FY. The required Single Audit Database screen print will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
13.	Check YES next to ONE of the following to indicate the applicable SAM.gov registration circumstance:		
A.	The applicant is an individual waived by OMB regulation from the SAM registration requirement.		
B.	The applicant is not an individual but was waived by the AD-WSFR from the SAM registration requirement. A signed copy of FWS Form 3-2451 will be maintained in the official award file.		
C.	The applicant is not an individual and must register in SAM. A dated print screen of the SAM Entity Overview record showing the entity's DUNS number and active SAM.gov registration status will be maintained in the official award file.		
14.	Check YES to confirm that a review of the SAM Exclusions database was conducted and either: 1) no active exclusions were found or 2) none of any active exclusions found prohibit this award from being funded. The required dated print screen(s) will be maintained in the official award file.		
15.	Check YES to confirm that all applicable steps of the "Establishing a Recipient's Payment Method" guidance were completed.		

I, as the last point of review before this award is passed to the Agreements Officer for obligation, certify that all pre-award actions and documentation that the program is required to complete are complete.

I, as the last point of review before funds are obligated, certify that all required pre-award actions and documentation are complete.

Program Representative Sign and Date

Agreements Officer Sign and Date

Printed Name of person signing

Printed Name of person signing

R5 Addendum Guidance

Checklist Items (http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html)		YES	NO
1.	Web link for Item #1. https://inside.fws.gov/media/FinancialAssistance/Documents/SelectionofFundingInstrumentDecisionDiagram.pdf		
2.	Web link for Item #2. https://inside.fws.gov/media/FinancialAssistance/Documents/SelectionofFundingInstrumentDecisionDiagram.pdf		
3.	Web link for Item #3. http://www.fws.gov/forms/3-2452.pdf		
4.	Web link for Item #4. http://www.grants.gov		
5.	Tab 5 is made up of the SF424 application form and the following:		
A.	SF-424A - Budget Form (Non-Construction)		
B.	SF-424B - Assurances Form (Non-Construction)		
C.	SF-424C - Budget Form (Construction)		
D.	SF-424D - Assurances Form		
E.	Grants.gov Budget Narrative Form (no form number)		
6.	Web link for Item #6. http://www.fws.gov/grants/pdfs/FishandWildlifeServiceFinancialAssistanceIndirectCostsGuidance.pdf		
7.	No web link		
8.	Specifically, http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 5.F.		
9.	Specifically, http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 5. G.		
10.	Specifically, http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 10. H.		
C.	Web Link for Tribal Consultation: https://inside.fws.gov/go/post/R5_Tribal_Consultation_Portal		
11.	No web link		
12.	Web link for Item #12. https://harvester.census.gov/fac/dissem/accessoptions.html?submit=Go+To+Database		
13.	Web link for Item #13. https://SAM.GOV (also utilize for modifications)		
14.	same as 13. https://SAM.GOV		
15.	Web link for Item 15. https://inside.fws.gov/index.cfm/go/post/Payments-New		
16.	Program Purchase Request (PPR) (also utilize for modifications)		
17.	Project Officer's Questionnaire http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 10		
18.	Project Officer's Designation of Authority Memo http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 10		
19.	If this project entails construction and authorized by statute (ie: Hurricane Sandy) , attach Davis-Bacon		
20.	Business Evaluation Form (also utilize for cost modifications): Both the project officer and CGS agreements officer must perform the cost/price analysis (Allowable, Allocable, and Reasonable Costs) and sign the form: http://www.fws.gov/northeast/refuges/agreements/CooperativeAgreements.html paragraph 10		
21.	Draft Modification Letter		
22.	Modification, updated SF 424 a or SF 424c and budget narrative forms (2CFR215.25)		
23.	Modification, updated Business Evaluation Form (Cost Analysis)		
24.	Lobbying if Agreement is greater than \$100,000. (Check one)		
A.	NOFA Section IV.H. incorporates 43 CFR 18, Appendix A requirements (therefore, no documented certificate required)		
B.	The Certificate of Lobbying, 43 CFR 18, Appendix A; is attached to the award file.		
25.	Partners for Fish and Wildlife and Coastal Programs Project Selection Checklist (if applicable)		
Station Congressional District _____ Project Location _____			
Project Congressional District _____			
Amount Funded _____	WBS _____	Partial Funded _____	